



AA #3

\$ SECTOR

Please type a plus sign (+) inside this box → ☒PTO/SB/21 (6-98)
Approved for use through 09/30/2000. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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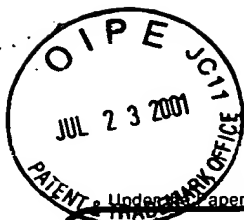
TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/751,640	
	Filing Date	12/29/2000	
	First Named Inventor	TANG, K.	
	Group Art Unit	2182	
	Examiner Name	Unknown	
Total Number of Pages in This Submission		Attorney Docket Number	NC17517

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input checked="" type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below) Request for Corrected Filing Receipt 3 copies cited in IDS Return Postcard
<input checked="" type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)		
<input checked="" type="checkbox"/> Extension of Time Request		
<input type="checkbox"/> Express Abandonment Request		
<input checked="" type="checkbox"/> Information Disclosure Statement		
<input type="checkbox"/> Certified Copy of Priority Document(s)		
<input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	Remarks	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Steven A. Shaw, Esq.
Signature	
Date	07/17/2001

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date 07/17/2001	
Typed or printed name	Beverly Sparkman
Signature	
Date	July 17, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



#5

PTO/SB/17 (09-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 560.00

Complete if Known

Application Number	09/751,640
Filing Date	12/29/2000
First Named Inventor	Clive TANG
Examiner Name	Unknown
Group Art Unit	2182
Attorney Docket No.	NC17517

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **50-0270**
Deposit Account Name **NOKIA INC.**

- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
		101 710	201 355	Utility filing fee	
		106 320	206 160	Design filing fee	
		107 490	207 245	Plant filing fee	
		108 710	208 355	Reissue filing fee	
		114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

Total Claims **1** -20** = **0** X Fee from below = **0**
Independent Claims **1** - 3** = **0** X Fee Paid = **0**
Multiple Dependent **0** X Fee Paid = **0**

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description
		103 18	203 9	Claims in excess of 20
		102 80	202 40	Independent claims in excess of 3
		104 270	204 135	Multiple dependent claim, if not paid
		109 80	209 40	** Reissue independent claims over original patent
		110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
		105 130	205 65	Surcharge - late filing fee or oath	130.00
		127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
		139 130	139 130	Non-English specification	
		147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
		112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
		113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
		115 110	215 55	Extension for reply within first month	390.00
		116 390	216 195	Extension for reply within second month	
		117 890	217 445	Extension for reply within third month	
		118 1,390	218 695	Extension for reply within fourth month	
		128 1,890	228 945	Extension for reply within fifth month	
		119 310	219 155	Notice of Appeal	
		120 310	220 155	Filing a brief in support of an appeal	
		121 270	221 135	Request for oral hearing	
		138 1,510	138 1,510	Petition to institute a public use proceeding	
		140 110	240 55	Petition to revive - unavoidable	
		141 1,240	241 620	Petition to revive - unintentional	
		142 1,240	242 620	Utility issue fee (or reissue)	
		143 440	243 220	Design issue fee	
		144 600	244 300	Plant issue fee	
		122 130	122 130	Petitions to the Commissioner	
		123 50	123 50	Petitions related to provisional applications	
		126 240	126 240	Submission of Information Disclosure Stmt	
		581 40	581 40	Recording each patent assignment per property (times number of properties)	40.00
		146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
		149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
		179 710	279 355	Request for Continued Examination (RCE)	
		169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 560.00

SUBMITTED BY

Name (Print/Type)	Steven A. Shaw	Registration No. (Attorney/Agent)	39,368	Telephone	(972) 894-6173
Signature		Date	7/17/01		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of:) Examiner: Unknown
TANG, K. CLIVE) Group Art Unit: 2182
Serial No.: 09/751,640) Atty's Docket No.: NC17517
Filing Date: 12/29/2000) USPTO Conf. No. 9254

For: ADAPTIVE LEARNING METHOD AND SYSTEM TO ADAPTIVE
MODULATION

To: Honorable Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

Please find a copy of the Filing Receipt that was mailed 04/12/2001. Please issue a corrected Filing Receipt to reflect the correct name of the inventor (K. Clive Tang) and the correct attorney docket number (NC17517).

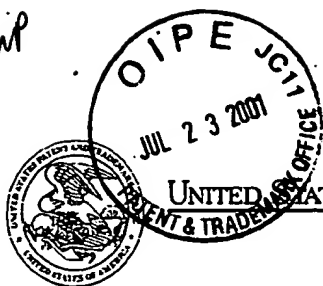
Fee Authorization. The Commissioner is hereby authorized to charge underpayment of any additional fees or credit any overpayment associated with this communication to Deposit Account No. 50-0270.

Respectfully submitted,

Dated: July 17, 2001

Steven A. Shaw
Reg. No.: 39,368

NOKIA INC.
6000 Connection Drive MS 1-4-755
Irving, TX 75039
Tel. (972) 894-6173



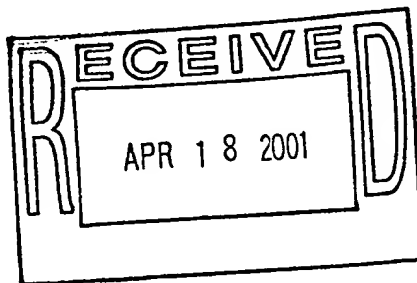
UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/751,640	12/29/2000	2182	710	NC25588 17517	6	1	1

CONFIRMATION NO. 9254

26343
STEVEN A. SHAW
NOKIA, INC.
6000 CONNECTION DRIVE
MD 1-4-755
IRVING, TX 75039



FILING RECEIPT



OC000000005960816

Date Mailed: 04/12/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) *K. Clive Tang*
Michael Garguilo, Residence Not Provided;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/250,242 11/30/2000

Foreign Applications

If Required, Foreign Filing License Granted 04/11/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

Adaptive learning method and system to adaptive modulation

Preliminary Class

713

Data entry by : MILANI, JALEH

Team : OIPE

Date: 04/12/2001



**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

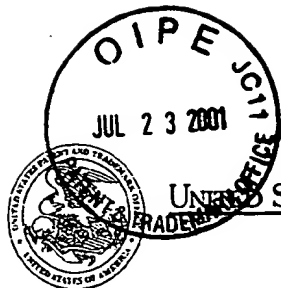
No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231



COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
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09/751,640

12/29/2000

~~Michael Garphito~~

NC25589

K. Clive Tang

17517

CONFIRMATION NO. 9254

26343
STEVEN A. SHAW
NOKIA, INC.
6000 CONNECTION DRIVE
MD 1-4-755
IRVING, TX 75039

FORMALITIES LETTER



OC000000005960817

Date Mailed: 04/12/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

Tahhamed
Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

07/25/2001 WABRHAM1 00000026 500270 09751640

01 FC:105 130.00 CH